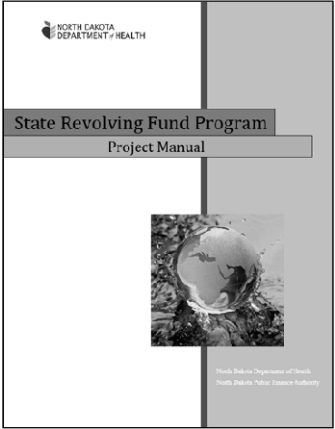




PROJECT MANUAL TRAINING

PRESENTED BY:
NORTH DAKOTA DEPARTMENT OF HEALTH
NORTH DAKOTA PUBLIC FINANCE
AUTHORITY



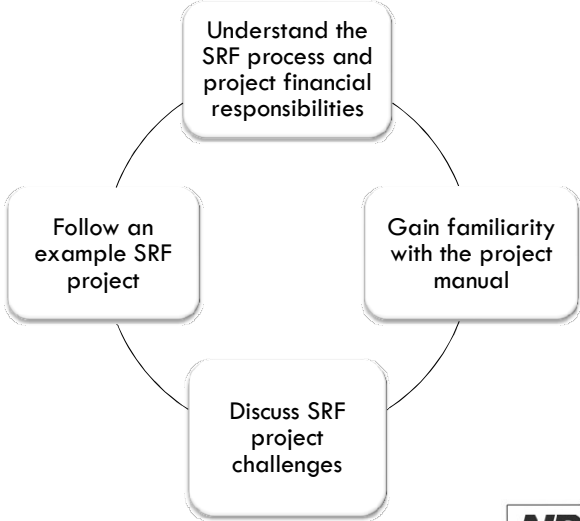



NORTH DAKOTA
DEPARTMENT of HEALTH




ND North Dakota Public
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TRAINING OBJECTIVES





NORTH DAKOTA
DEPARTMENT of HEALTH



ND North Dakota Public
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PURPOSE

- PROVIDE LOAN RECIPIENTS AND THEIR ENGINEERS WITH BASIC INFORMATION ABOUT THE SRF PROGRAM
- DESCRIBE THE SRF PROGRAM FROM BEGINNING TO END
- ANSWER FREQUENTLY ASKED QUESTIONS
- PROVIDE LINKS TO SRF PROGRAM RESOURCES

PURPOSE

THE MANUAL IS INTENDED TO BE A “LIVING DOCUMENT”. PLEASE ACCESS THE MANUAL FROM THE NDDOH WEBSITE TO ENSURE THE MOST UP-TO-DATE INFORMATION.

COMMENTS AND FEEDBACK ARE WELCOME AND MAY BE SENT TO SMFISHER@ND.GOV

CONTENTS

1. INTRODUCTION
2. PROJECT PRIORITY LIST
3. LOAN APPLICATION
4. FACILITY PLAN AND ENVIRONMENTAL ASSESSMENT
5. PLANS AND SPECIFICATIONS
6. BID PROCESS
7. CONSTRUCTION
8. PROJECT CLOSEOUT
9. SRF PAYMENT REQUESTS
10. ONGOING REQUIREMENTS

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DEPARTMENT of HEALTH

Community Health Emergency Preparedness Medical Services Health Resources Environmental Health Administrative Support

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Office of Public Health Systems and Performance
Healthy North Dakota
Health Data Resources
Health Equity Office
Human Resources
Loan Repayment Program
Training/Video Conferencing
CAFO Zoning Ordinances
Program Reporting System
Executive Office
State Health Council
2015-17 Biennial Legislative Testimony

Divisions
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Laboratory Services
Municipal Facilities
Waste Management
Water Quality

Frequently Requested
TENORM
Public Notices
On-Patch Housing
Environmental Incident Reporting
Spill Reporting/Environmental Incidents
Environmental Incident Report
Permitting and Approval Requirements for Modular Package Wastewater Treatment Plants and Other Wastewater/Water Supply Infrastructure - August 28, 2013
Predictive Chemical Process Requirements
Devils Lake
Crisis
Unsat in groundwater
Flood Information
Visit the Environmental Health Section home page for more...

the North Dakota Department of Health website. Its amazing how it affects our lives every day. We breathe clean air and drink safe water. Our garbage is disposed of properly. We can do our jobs in workplaces and feel confident that the food we eat in restaurants is safe. Every parent just a few decades ago. These accomplishments are due to the efforts of public health at the state and local level. public health affects your life every day, click here: [A Day in Your Life: Public Health](#). The Department of Health is committed to safeguarding the health of North Dakota. We look forward to continuing our service to you. M.D., M.F.H.T.M., Director

Environmental Incident Reports


Health Topics A-Z
Navigate the website by topic

Frequently Requested
Birth/Death/Marriage Certificates
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Health Alerts
Women's Way
Nursing Homes
Disease Fact Sheets
NDQuits Tobacco Cessation

Current Issues
TENORM
Ebola Outbreak
Meaningful Use
Meningococcal Outbreak
2012 Smoke-Free Law
Permitting and Approval Requirements for Modular Package Wastewater Treatment Plants and Other Wastewater/Water Supply Infrastructure - August 30, 2013
Submittal Requirements for Privately Developed Wastewater/Water Systems - September 19, 2013

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 NORTH DAKOTA
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Program Links
Clean Water SRF
Drinking Water
Drinking Water SRF

Division of Municipal Facilities

Welcome to the **Division of Municipal Facilities** home page. The division works with municipalities, political subdivisions, rural water districts, water resource boards, businesses, industries, and individuals to protect public health and our environment. To effectively provide public health and environmental services the Division is divided into three programs: the Clean Water State Revolving Loan Fund (CWSRF) Program, the Drinking Water Program, and the Drinking Water State Revolving Loan Fund (DWSRF) Program. Protection of public health and the environment is accomplished through ensuring compliance by public water systems with the Safe Drinking Water Act (SDWA), certification and training of operators of regulated water and wastewater systems, inspections of regulated water and wastewater facilities, financing of new wastewater collection and treatment systems and upgrades to existing facilities and financing of new water treatment and distribution systems and upgrades of existing systems.

NORTH DAKOTA
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Drinking Water SRF

Publications

(all publications will open in a new window)

Municipal Facilities

Clean Water State Revolving Fund
Clean Water State Revolving Fund Publications
Drinking Water

Boil Water Orders
Cert - Application for Operator Certification
Cert - Information for Operator Certification
Cert - Operator Certification Contract
Cert - Operator Reimbursement Form (pdf)
Cert - System Requirements For Employing Certified Water And Wastewater Operators
DBP - Disinfectants and Disinfection By-Products Rule (DBPR) Summary Form - Stage 2
LCR - Sample Site Plan Guide
LCR - Sampling Instructions for Lead and Copper Collection
Misc - Dechlorinator Manual
Reg - Operator Certification Rules (ART 33-19)
Reg - Public Water System Rules (ART 33-17)
RTCR - Revised Total Coliform Rule Sample Site Plan (<= 1000 people) (pdf) (Save form to computer, complete form, print, mail to NDDoH)
RTCR - Revised Total Coliform Rule Sample Site Plan (>= 1001 people) (pdf) (Save form to computer, complete form, print, mail to NDDoH)

FEEDBACK
Please give us feedback about your experience with the

NORTH DAKOTA
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FEEDBACK
Please give us feedback about your experience with the North Dakota Department of Health

Publications - Municipal Facilities

- **Plans and Specifications Review (Drinking Water and Wastewater)**
 - » **Drinking Water Design Standards**
 - [Submittal Requirements for Privately Developed Water/Wastewater Systems](#)
 - [Recommended Standards for Water Works \(Ten States Standards\)](#)
 - [North Dakota Century Code \(NDCC\) Chapter 49-23, One-Call Notification Notice System](#)
 - [North Dakota Administrative Code \(NDAC\) Chapter 33-18-01, Water Well Construction and Water Well Pump Installation](#)
 - [NDCC Chapter 61-04, Appropriation of Water](#)
 - [Water System Capacity Assessment Manual](#)
 - [Capacity Attribute Evaluation](#)
 - [Existing Water System](#)
 - [New Water System](#)
 - » **Wastewater Design Standards**
 - [Submittal Requirements for Privately Developed Water/Wastewater Systems](#)
 - [Recommended Standards for Wastewater Facilities \(Ten States Standards\)](#)
 - [Chapter 60, Waste Stabilization Ponds \(Lagoons\)](#)
 - [ND Plumbing Code \(NDAC Chapter 52-03, 1-03\)](#)
 - [Permitting and Approval Requirements for Modular Package Wastewater Treatment Plants and Other Wastewater/Water Supply Infrastructure](#)
- **Clean Water State Revolving Fund**
 - [SRF Program Project Manual](#)
 - [SRF Timeline for Projects](#)
 - [SRF Project Flowchart](#)


NORTH DAKOTA DEPARTMENT of HEALTH **9** **ND North Dakota Public Finance Authority**

Please give us feedback about your experience with the North Dakota Department of Health

- [Permitting and Approval Requirements for Modular Package Wastewater Treatment Plants and Other Wastewater/Water Supply Infrastructure](#)
- **Clean Water State Revolving Fund**
 - [SRF Program Project Manual](#)
 - [SRF Timeline for Projects](#)
 - [SRF Project Flowchart](#)
 - [Priority List](#)
 - [CWSRF 2016 Project Priority List](#)
 - [CWSRF Questionnaire for Potential Financial Assistance \(Word document\)](#)
 - [CWSRF Green Project Reserve 2010 guidance](#)
 - [SRF Loan Applications](#)
 - [Facility Plan](#)
 - [Facility Plan Outline](#)
 - [Cost and Effectiveness Certification](#)
 - [Plans and Specifications](#)
 - [Specification Package and Required Bid Language](#)
 - [Non-Governmental Entity Davis-Bacon Specification Insert](#)
 - [Project Bid](#)
 - [Bid Document Submittal Checklist](#)
 - [Construction Management At-Risk Document Checklist](#)
 - [Request for Payment](#)
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 - [Project Close-out](#)
 - [Final Document Checklist and Forms](#)
 - [Sample One Year Certification](#)
- **Drinking Water State Revolving Fund**
 - [SRF Program Project Manual](#)
 - [SRF Timeline for Projects](#)
 - [SRF Project Flowchart](#)
 - [SRF Training](#)


NORTH DAKOTA DEPARTMENT of HEALTH **10** **ND North Dakota Public Finance Authority**

- [Sample One Year Certification](#)
- **Drinking Water State Revolving Fund**
 - [SRF Program Project Manual](#)
 - [SRF Timeline for Projects](#)
 - [SRF Project Flowchart](#)
 - [SRF Training](#)
 - [2014 Governor's Report on Capacity Development](#)
 - [Priority List](#)
 - [DWSRF 2016 Project Priority List](#)
 - [2016 Intended Use Plan](#)
 - [Project Update Questionnaire for Ranking Potential Projects](#) (Word document)
 - [Ranking Questionnaire for Potential Projects](#)
 - [SRF Loan Applications](#)
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NORTH DAKOTA
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North Dakota Public Finance Authority

North Dakota



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ND Public Finance Authority

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- BOND FINANCING
- SCHOOL FINANCING
- INDUSTRIAL DEVELOPMENT
- BOND ISSUE DOCUMENTS
- FINANCIAL INFORMATION
- FEEDBACK
- LINKS
- HOME

200 Memorial Highway
PO Box 6600
Bismarck, ND 58500-5509

701.328.7100 : phone
800.526.5600 : toll-free
701.328.7130 : fax
ndpfa@nd.gov

Search:

State Revolving Fund Program

The State Revolving Fund Program (SRF) was established in 1990 to enable North Dakota to receive federal capitalization grants as authorized under the Clean Water Act. In 1998, the SRF was amended to enable the State to receive capitalization grants as authorized under the Safe Drinking Water Act. The SRF grants, received from the United States Environmental Protection Agency, are to be used to make below-market interest rate loans to political subdivisions for the purpose of financing authorized projects, to establish reserve funds, and for other purposes allowed under the Clean Water and Safe Drinking Water Acts. Authorized projects under the SRF include wastewater treatment facilities, non-point source pollution control projects, and public water systems. The North Dakota Department of Health and the Authority jointly administer the SRF.

The interest rates on SRF loans are set by the Department of Health in consultation with the Authority. The interest rates are fixed for a term up to 20 years. Currently, the interest rate for all SRF loans is 2.5%, which includes a .5% administrative fee.

The SRF Program has been assigned ratings of "Aaa" by Moody's Investor's Service, Inc. and "AAA" by Standard & Poor's Ratings Services.

Loan Applications


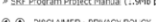
- [Clean Water State Revolving Fund](#) (7.8Mb pdf)
- [Drinking Water State Revolving Fund](#) (3.3Mb pdf)

Bond Counsel


- [Bond Counsel](#) (199b pdf)

Publications

- [SRF Project Flowchart](#) (210kb pdf)
- [SRF Program Project Manual](#) (1.5Mb pdf)





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NORTH DAKOTA
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North Dakota Public Finance Authority

ABBREVIATIONS

AIS- AMERICAN IRON AND STEEL
 CWSRF – CLEAN WATER STATE REVOLVING FUND
 DWSRF – DRINKING WATER STATE REVOLVING FUND
 EEO – EQUAL EMPLOYMENT OPPORTUNITY
 EPA - ENVIRONMENTAL PROTECTION AGENCY
 MBE – MINORITY BUSINESS ENTERPRISE
 NDDOH – NORTH DAKOTA DEPARTMENT OF HEALTH
 OSHA – OCCUPATIONAL SAFETY AND HEALTH ACT
 PFA – NORTH DAKOTA PUBLIC FINANCE AUTHORITY
 P&S – PLANS AND SPECIFICATIONS
 SRF – STATE REVOLVING FUND
 USDOL – UNITED STATES DEPARTMENT OF LABOR
 WBE – WOMEN'S BUSINESS ENTERPRISE

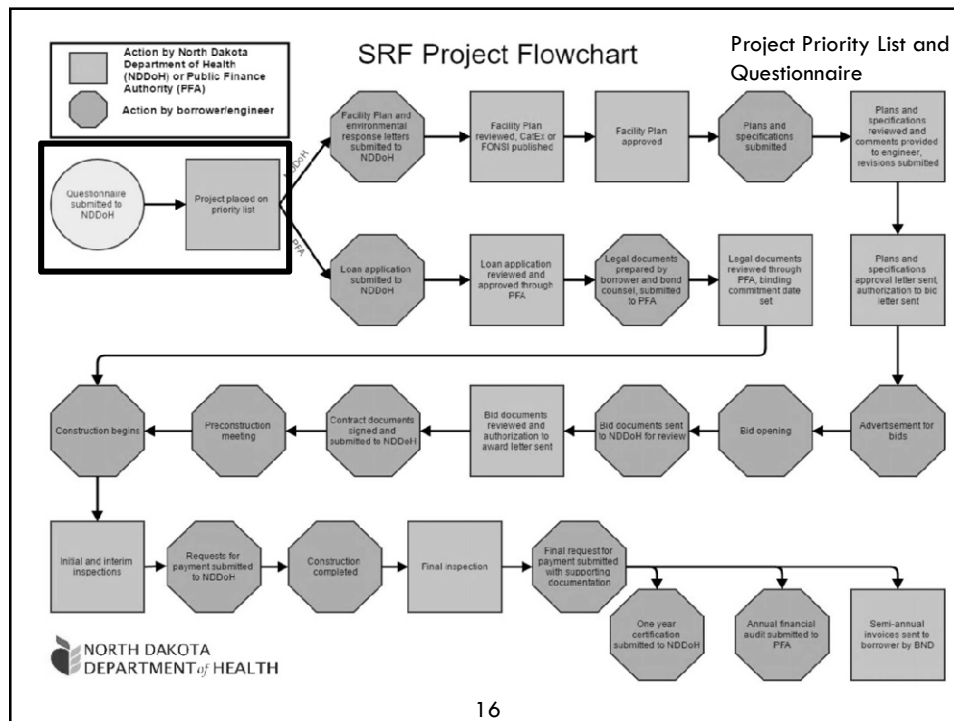
STATE REVOLVING FUND PROGRAM

- TWO PROGRAMS: DWSRF AND CWSRF
- PROVIDE LOW-INTEREST LOANS (EFFECTIVE 2%, JANUARY 1, 2017)
FOR WATER AND WASTEWATER INFRASTRUCTURE PROJECTS
- FUNDED THROUGH EPA, STATE MATCH, LEVERAGED BOND PROCEEDS,
AND LOAN REPAYMENTS
- ADMINISTERED BY THE NDDOH AND THE PFA

EXAMPLE PROJECT

300,000 GALLON ELEVATED STORAGE TANK WITH 30 FEET OF WATER MAIN FOR CONNECTION TO AN EXISTING WATER DISTRIBUTION SYSTEM.

Description	Cost (\$)
Construction	1,300,000
Engineering design and construction services	270,000
Contingency	130,000
Total	1,700,000



PROJECT PRIORITY LIST (PPL)

- RANKED LIST OF ALL ELIGIBLE SRF PROJECTS
- A NEW PPL IS CREATED ANNUALLY
- QUESTIONNAIRE SENT OUT LATE SUMMER/FALL



DWSRF QUESTIONNAIRE

- PROJECT SCOPE AND NEED
- WATER QUALITY
- WATER QUANTITY
- INFRASTRUCTURE ADEQUACY
- AFFORDABILITY
- GREEN PROJECT RESERVE
- REGIONAL AND RURAL WATER SYSTEMS

Project Information

Project Description (attach additional information as needed, including available engineering reports):

Construction of a 300,000 gallon water tower with associated water main. The water structure will be constructed on city owned land and will connect to an existing distribution system. This project will allow the city to provide adequate water flow and pressure to all residents.

Anticipated Start Dates for Project:

Planning: 2017

Design: 2017

Construction: 2018



Water Quantity

1. Is one of the purposes of your project to correct ongoing and unresolved water quantity problems that your system is experiencing? If yes, detailed information concerning the water quantity problems, as well as how the project will solve the problems, must be given in an attachment. Such information must include an estimate of the maximum water (in gallons per day) presently available to residential users served by your system.	YES <input checked="" type="radio"/> NO <input type="radio"/>
2. Is one of the purposes of your project to correct ongoing and unresolved water quantity problems being experienced by other PWSs through consolidation with or regionalized service by your system? If yes, detailed information concerning the water quantity problems, as well as how the project will solve the problems, must be given in an attachment. Such information must include an estimate of the maximum water (in gallons per day) presently available to residential users within EACH of these PWSs.	YES <input type="radio"/> NO <input checked="" type="radio"/>
3. Is one of the purposes of your project to correct ongoing and unresolved water quantity problems being experienced by individual households or businesses (i.e., non-PWSs) that are within your service area (and presently using their own water supplies) through consolidation with or regionalized service by your system? If yes, detailed information concerning the water quantity problems, as well as how the project will solve the problems, must be given in an attachment. Such information must categorize the problems as continuous/frequent daily shortages or occasional/seasonal water shortages.	YES <input type="radio"/> NO <input checked="" type="radio"/>

GOOD EXAMPLE	BAD EXAMPLE
Roughly 20% of residents experience less than 60 gpd and receive pressure below 18 psi during peak periods. The proposed project will supply adequate flow at an average pressure of 65 psi.	A portion of the city experiences low flow and low pressure throughout the day. These areas will benefit from the proposed project.

Infrastructure Adequacy

From the list below, indicate which infrastructure problems, if any, that your project is intended to correct (applies to your system only). A complete description of each problem, along with an explanation of how the project will solve the problem, must be attached.

A. Correction of general disinfection treatment deficiencies (excludes improvements necessary to directly comply with the different Surface Water Treatment Rules and the Groundwater Disinfection Rule, once finalized).	YES <input type="radio"/> NO <input checked="" type="radio"/>
B. Correction of well construction deficiencies.	YES <input type="radio"/> NO <input checked="" type="radio"/>
C. Correction of distribution system pressure problems (dynamic pressure < 20 psi).	YES <input checked="" type="radio"/> NO <input type="radio"/>
D. Replacement of deteriorated water mains.	YES <input type="radio"/> NO <input checked="" type="radio"/>
E. Replacement of deteriorated finished water storage structures.	YES <input type="radio"/> NO <input checked="" type="radio"/>
F. Replacement of distribution system piping/materials shown via Department approved testing to contribute unacceptable levels of lead or asbestos.	YES <input type="radio"/> NO <input checked="" type="radio"/>
G. Water treatment plant (WTP) operating at or above design capacity. The following information must be attached: WTP design capacity; water production rates required to meet present demands (summer and winter); projected water production rates required to meet future demands (summer and winter); and, hours per day WTP presently operates (summer and winter).	YES <input type="radio"/> NO <input checked="" type="radio"/>
H. WTP operating at or beyond useful or design life. Information documenting the age and design life of the WTP must be attached.	YES <input type="radio"/> NO <input checked="" type="radio"/>
I. Correction of specific design or operating deficiencies associated with water treatment plant unit processes (excludes disinfection treatment).	YES <input type="radio"/> NO <input checked="" type="radio"/>
J. Correction of specific design or operating deficiencies associated with surface water intake facilities.	YES <input type="radio"/> NO <input checked="" type="radio"/>
K. Correction of specific design or operating deficiencies associated with finished water storage facilities.	YES <input checked="" type="radio"/> NO <input type="radio"/>


Affordability and Project Financial Considerations

ALL SYSTEMS What is the estimated cost of your project? NOTE: The total cost must equal the sum of the planning, design, construction, and land costs. Include land cost only if applicable and integral to the project. A detailed cost estimate must be included.		TOTALS\$ 1,700,000 Planning\$ 20,000 Design\$ 250,000 Construction\$ 1,430,000 Land\$
MUNICIPAL SYSTEMS ONLY		
1. What is the total population presently served by your system, including the population of bulk users served by master meter?	960	
2. Following project completion, what total population will your system serve, including the population of bulk users served by master meter?	960	
3. How many total service connections does your system presently have? Following project completion, how many total service connections will your system have? Consider users within your municipality such as individually metered residences, schools, businesses, campgrounds, and rest areas as one service connection. Include the number of residential service connections within bulk users served by master meter such as trailer courts and subdivisions. Do NOT include users and associated service connections that you supply water to OUTSIDE of your municipality (if any).	PRESENT: 440 FOLLOWING PROJECT COMPLETION: 440	
4. How many total service connections does your system presently supply water to OUTSIDE of the municipality? Following project completion, how many total service connections will your system supply water to OUTSIDE of the municipality? Consider users outside of your municipality such as households, schools, businesses, campgrounds, and rest areas as one service connection. Include the number of service connections WITHIN bulk users served outside of your municipality by master meter such as subdivisions, trailer courts, other municipalities, and regional or rural water systems. Detailed information must be attached documenting the user types and service connection number for all users served outside of the municipality.	PRESENT: FOLLOWING PROJECT COMPLETION: 	
5. For a typical single residential user, what is your present average annual charge for water service? Include, if applicable, costs recovered through special assessments.	\$/YEAR 240	
6. As a result of the project, what is your expected average annual charge for water service for a typical single residential user? Include, if applicable, costs to be recovered through special assessments.	\$/YEAR 360	


REGIONAL AND RURAL WATER SYSTEMS ONLY	
Regional and rural water systems must provide the information requested in Attachment 1.	
OPERATOR SAFETY Is one of the purposes of your project to correct a critical and chronic safety hazard, an intermittent safety hazard, or a potential significant safety hazard for your water system operators? If yes, a detailed description of the safety hazards to be corrected must be attached.	YES <input type="radio"/> NO <input checked="" type="radio"/>
MISCELLANEOUS Is one of the purposes of your project to increase water availability for or to improve fire protection? If yes, a detailed description of these project features must be attached.	YES <input checked="" type="radio"/> NO <input type="radio"/>

Green Project Reserve Information

Is there a proposed Green Project Reserve component of this project? If yes, please describe. No
What is the estimated Green Project Reserve amount for this project?


NORTH DAKOTA
 DEPARTMENT of HEALTH


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CWSRF QUESTIONNAIRE

- SCOPE AND NEED
- COSTS AND SCHEDULE
- # OF CONNECTIONS AND USER RATES
- GREEN PROJECT RESERVE

[HTTP://WWW.NDHEALTH.GOV/MF/FORMS/CWSRFGREENPROJECTRESERVEGUIDANCE.PDF](http://www.ndhealth.gov/MF/FORMS/CWSRFGREENPROJECTRESERVEGUIDANCE.PDF)

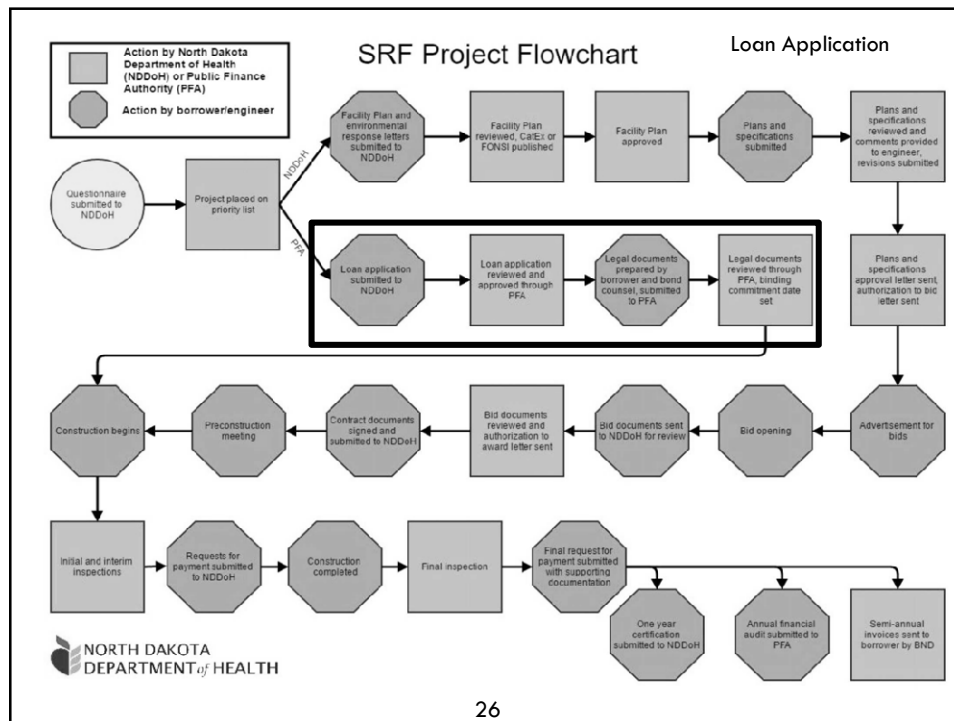

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ND North Dakota Public
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PPL PREPARATION

- QUESTIONNAIRE RANKING
- PUBLIC HEARING
- EPA REVIEW AND APPROVAL
- PPL CAN NOT BE CHANGED



LOAN APP



PUBLIC FINANCE AUTHORITY

- IS AN AGENCY UNDER THE INDUSTRIAL COMMISSION
- THE NDDOH CONTRACTS WITH THE PFA TO CONDUCT THE FINANCIAL CAPABILITY OF THE APPLICANT AS WELL AS ADMINISTER THE OTHER FINANCIAL FUNCTIONS OF THE PROGRAM

FINANCIAL ADVANTAGES

- THE SRF ONLY REQUIRES BORROWERS TO PAY INTEREST ON THE LOAN AS FUNDS ARE DRAWN. IF THE POLITICAL SUBDIVISION WERE TO ISSUE BONDS, INTEREST WOULD ACCRUE ON THE FULL AMOUNT OF ISSUED BONDS INCLUDING ANY UNUSED BOND PROCEEDS
- THERE IS NO PENALTY FOR EARLY PAYMENT FROM EXCESS REVENUES (PREPAYMENTS ARE NOT ALLOWED FROM BOND PROCEEDS)
- BOND COUNSEL FEES ARE THE ONLY COST OF ISSUANCE EXPENSE
- THE SRF PREPARES THE CONTINUING DISCLOSURE FILINGS

CONTENTS AND INSTRUCTIONS

CONTENTS OF APPLICATION PACKAGE

1. SRF Program Application
2. Budget Sheet
3. Debarment and Suspension Certification
4. Preaward Compliance Review Report
5. Resolution of Governing Body

APPLICATION SUBMISSION

Complete items 1-5 and submit with original signatures

North Dakota Department of Health (NDDoH)
Division of Municipal Facilities
918 East Divide Avenue, Third Floor
Bismarck, ND 58501-1947

APPLICATION PROCESS

1. Project must be on the Department of Health's Intended Use Plan (IUP)
2. Application is reviewed by ND Public Finance Authority (PFA)
3. Application is reviewed by PFA's Advisory Committee
4. Application is reviewed by the ND Industrial Commission
5. Political subdivision's bond counsel prepares bond documents
6. Bond documents are filed with the PFA
7. Political subdivision may submit loan draw requests to the NDDoH

IMPORTANT REMINDERS

- The political subdivision is responsible for selecting and retaining bond counsel.
- CWSRF loans are federal funds and subject to specific auditing procedures. Please alert your auditor.
- Revenue bonds require 120 percent coverage and a reserve fund.
- Audit reports or financial statements must be filed annually with the PFA.

This fillable form has text in GREEN that can be changed by the user.

QUESTIONS REGARDING:

Completing pages 1-7 of the application: ND Public Finance Authority Phone: 1.800.536.5509 or 701.328.7100 Fax: 701.328.7139 Email: ndpfa@nd.gov Website: www.nd.gov/pfa	Project Approval and RUP: ND Department of Health Phone: 701.328.5211 Fax: 701.328.5200 Email: dbergsa@nd.gov Website: http://www.ndhealth.gov/MT/
---	---

Original signatures **MUST** be included with applications sent to the NDDoH. An electronic copy cannot be submitted in place of a hard copy.

Read this page carefully for instructions on completing the application. Additional questions can be directed to these contacts.

B. PROJECT INFORMATION

1. Description of project to be financed with the loan proceeds:

300,000 gallon elevated storage tank with 30 feet of water main for connection to an existing water distribution system.

- 2.

Source	Amount of Funding (Please round to the nearest thousand)
SRF Loan Request	\$ 1,700,000
CDBG	
LOCAL	
OTHER	
Total Project Costs	\$ 1,700,000

**Rate history and projections:**

Please attach rate schedule or meeting minutes evidencing current rates.

Check one: *Monthly* ☒ or *Annual* ☐

	Prior Year 2	Prior Year 1	Current Year	Projected Year 1	Projected Year 2
Service connections:					
Residential	430	436	440	440	440
Commercial	2	3	5	5	5
Base rate:					
Residential	\$ 10.00	\$ 10.00	\$ 20.00	\$ 30.00	\$ 30.00
Commercial	\$ 10.00	\$ 10.00	\$ 20.00	\$ 30.00	\$ 30.00
Revenue per connection:					
Residential	\$ 120.00	\$ 120.00	\$ 240.00	\$ 360.00	\$ 360.00
Commercial	\$ 120.00	\$ 120.00	\$ 240.00	\$ 360.00	\$ 360.00



City of Utopia STATEMENT OF RECEIPTS AND DISBURSEMENTS AND CHANGES IN FUND BALANCES December 31, 2016						
RECEIPTS AND DISBURSEMENTS	ENTERPRISE FUNDS					
	Total enterprise funds	Water fund	Sewer fund	Garbage fund	Pest Control	
RECEIPTS						
Sales of water	152,190.00	152,190.00				
Sewer charges	66,715.00		66,715.00			
Garbage charges	77,777.00			77,777.00		
Pest control fee					8,422.64	
Interest earned	2.18	2.03	0.15			
SRF loan funds			55,864.00			
New connection fee		6,600.00	4,000.00			
Please add any other revenue labels	-					
	-					
	-					
TOTAL RECEIPTS	361,390.82	158,792.03	116,369.15	77,777.00	8,422.64	-
DISBURSEMENTS						
Salaries	24,320.99	13,177.87	8,143.12		5,300.00	
Repairs and maintenance	79,960.86	72,984.32	8,976.54			
Supplies	56,418.86	55,479.46	937.99		2,121.21	
Insurance	3,000.00	2,000.00	1,000.00			
Utilities	28,832.69	25,417.13	3,415.56			
Lift station project (SRF)			55,864.00			
Garbage contract	82,166.66			82,166.66		
Debt principal	2,500.00	500.00	2,000.00			
Debt interest	1,417.10	25.00	1,392.10			
Please add any other expense labels	-					
	-					
	-					
TOTAL DISBURSEMENTS	336,300.96	169,669.78	77,429.31	82,166.66	7,121.21	-
Receipts over (under) disbursements	25,089.86	(10,791.75)	38,969.84	(4,389.66)	1,301.43	-
Beginning Balance	57,031.49	46,672.16	11,308.14	(2,462.62)	113.81	
Transfers in	-					
Transfers (out)	-					
Ending Balance	82,121.35	37,280.41	50,277.98	(6,352.28)	1,415.24	-

 NORTH DAKOTA
DEPARTMENT of HEALTH

 North Dakota Public
Finance Authority

Drinking Water Loan Info - PRELIMINARY		Project Description
Loan #	Utopia	Water Tower
Loan	1.50%	
Interest Rate	0.50%	
Administration Fee	1,700,000.00	
Approved Amount	1,700,000.00	
Loan Amount	0.00	
Fully Funded Amount	5,000.00	
Insurance Deduction	None	
Credit Rating	Revenue	
Security Type	6/1/2017	
Closing Date	9/1/2011	
First Maturity	30	
Term	9/1/2047	
Final Maturity	9/1/2017	
First Interest	3,000.00	
First Interest Payment	1,000.00	
First Admin. Payment	77,250.00	
Debt Service Reserve Fund	9/1/2017	
First DSRF Payment		

Average annual payment: \$71,192

120% Coverage: \$85,430

Date	Principal	Interest	Total Principal & Interest	Annual Debt Payment	Outstanding Balance	Admin. Fee	Total Payment	Annual Total Payment	Debt Service Reserve Funding
9/1/2017	-	1,000.00	1,000.00	3,000.00	1,700,000.00	1,000.00	4,000.00	4,000.00	-
3/1/2018	-	11,750.00	11,750.00	-	1,700,000.00	4,200.00	17,000.00	-	-
9/1/2018	40,000.00	12,750.00	52,750.00	95,500.00	1,660,000.00	4,200.00	57,000.00	76,000.00	15,450.00
3/1/2019	-	12,450.00	12,450.00	-	1,660,000.00	4,150.00	16,600.00	-	-
9/1/2019	45,000.00	12,450.00	57,450.00	99,900.00	1,615,000.00	4,150.00	61,600.00	76,200.00	15,450.00
3/1/2020	-	12,112.50	12,112.50	-	1,615,000.00	4,017.50	16,150.00	-	-
9/1/2020	45,000.00	12,112.50	57,112.50	99,225.00	1,570,000.00	4,017.50	61,150.00	77,300.00	15,450.00
3/1/2021	-	11,775.00	11,775.00	-	1,570,000.00	3,915.00	15,700.00	-	-
9/1/2021	45,000.00	11,775.00	56,775.00	98,550.00	1,525,000.00	3,915.00	60,700.00	76,400.00	15,450.00
3/1/2022	-	11,417.50	11,417.50	-	1,525,000.00	3,812.50	15,250.00	-	-
9/1/2022	45,000.00	11,417.50	56,417.50	97,875.00	1,480,000.00	3,812.50	60,250.00	75,500.00	15,450.00
3/1/2023	-	11,100.00	11,100.00	-	1,480,000.00	3,700.00	14,800.00	-	-
9/1/2023	40,000.00	11,100.00	51,100.00	97,200.00	1,435,000.00	3,700.00	59,800.00	74,600.00	-
3/1/2024	-	10,762.50	10,762.50	-	1,435,000.00	3,587.50	14,350.00	-	-
9/1/2024	45,000.00	10,762.50	55,762.50	96,525.00	1,390,000.00	3,587.50	59,350.00	73,700.00	-
3/1/2025	-	10,425.00	10,425.00	-	1,390,000.00	3,475.00	13,900.00	-	-
9/1/2025	50,000.00	10,425.00	60,425.00	70,837.50	1,340,000.00	3,475.00	63,900.00	71,800.00	-

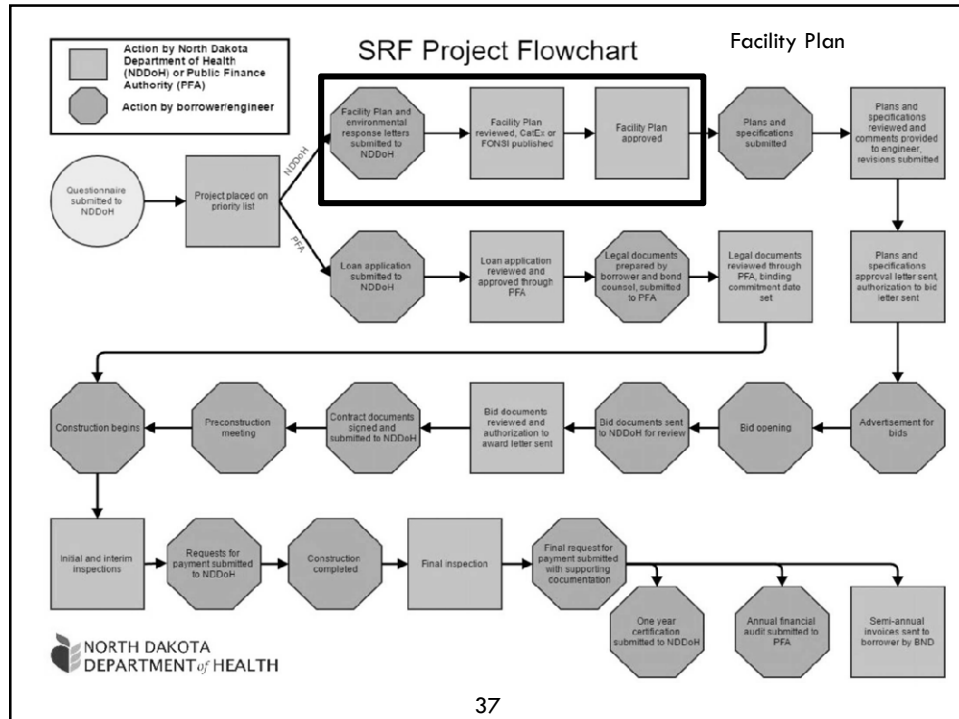
RATE INCREASE CALCULATION

Water receipts over (under) disbursements	\$ (10,792)		
120% debt service coverage	85,430		
Annual revenue to be generated	\$ 96,222		
Annual increase per customer	\$ 216.23 (\$96,222/445 customers)		
Monthly increase per customer	\$ 18.02 (\$216.23/12 months)		

The loan application only shows a \$10 monthly base rate increase (\$20 to \$30). An \$18 per user per month rate increase will be necessary.

ADDITIONAL LOAN APP DOCUMENTATION

- FORMS
 - PREAWARD COMPLIANCE REVIEW REPORT FOR CONSTRUCTION LOANS
 - RESOLUTION OF GOVERNING BODY OF APPLICANT
 - CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS
- DWSRF LOAN APP
 - TECHNICAL QUESTIONS
 - MANAGERIAL QUESTIONS



FACILITY PLAN AND ENVIRONMENTAL ASSESSMENT

- DESCRIBES PROBLEM
- ANALYSIS OF ALTERNATIVES
- SELECTS ALTERNATIVE
- ENVIRONMENTAL IMPACTS
- IMPACT MITIGATION



PROJECT DEFINITION AND BACKGROUND DATA

- DESCRIBE NEED AND PROBLEMS TO BE SOLVED
- IDENTIFY REGULATORY, PUBLIC HEALTH, ENVIRONMENTAL, AND SAFETY ISSUES
CITY HAS LIMITED WATER STORAGE AND CURRENTLY EXPERIENCES LOW FLOW AND PRESSURE IN THE DISTRIBUTION SYSTEM DURING PEAK FLOWS. THESE CONDITIONS POSE A RISK TO WATER QUALITY AND PUBLIC HEALTH. SAFETY OF THE COMMUNITY IS REDUCED WHEN ADEQUATE DRINKING WATER IS NOT AVAILABLE.
- SHOW PLANNING AREA, EXISTING/FUTURE SERVICE AREAS
- PROVIDE A SUMMARY OF GEOTECHNICAL INVESTIGATIONS

ANALYSIS OF ALTERNATIVES

- ALTERNATIVES
 - DO NOTHING
 - GROUND STORAGE RESERVOIR WITH PUMP STATION
 - ELEVATED WATER STORAGE TANK
- COMPARISON OF ALTERNATIVES
 - LIFE CYCLE COST ANALYSIS
COST TO PURCHASE, OWN, OPERATE, MAINTAIN, AND SALVAGE
 - NON-MONETARY FACTORS
FACTORS SUCH AS AESTHETICS, RELIABILITY, WATER SAFETY, SUSTAINABILITY, AND ENVIRONMENTAL IMPACTS

LIFE CYCLE COST ANALYSIS

Cost (\$)	Ground Tank w/ Pump	Elevated Tank
Engineering/Construction	1,600,000	1,700,000
Operate & Maintain	14,000 / yr	4,000 / yr
Salvage	500,000	600,000
30 yr Total (\$)	2,520,000	2,420,000

CWSRF CERTIFICATION OF COMPLIANCE WITH COST AND EFFECTIVENESS ANALYSIS

Federal Water Pollution Control Act Section 602(b)(13) of the
Water Resources Reform and Development Act of 2014 (WRRDA)

CWSRF Project No.: _____
Loan Recipient: _____
Project: _____



- 1) The municipality has studied and evaluated the cost and effectiveness of the processes, materials, techniques, and technologies for carrying out the proposed project or activity for which assistance is sought.
- 2) To the maximum extent practicable, the municipality has selected a project that maximizes the potential for efficient water use, reuse, and recapture, along with water and energy conservation. Selection also takes into account the cost of:

- Constructing the project or activity
- Operating and maintaining the project or activity over its useful life
- Replacing the project or activity

We certify that the project has completed both requirements (1) and (2) above.

Professional Engineer

Print name: _____
Signature: _____
Date: _____



Loan Recipient Representative

Print name: _____
Signature: _____
Date: _____



PUBLIC PARTICIPATION

- PROJECT ADEQUATELY ADVERTISED TO THE PUBLIC
- COPY OF MEETING MINUTES
- PUBLIC COMMENTS



DESCRIPTION OF SELECTED ALTERNATIVE

- DESIGN CRITERIA AND JUSTIFICATION
- DRAWINGS/DIAGRAMS OF PROCESS UNITS AND OPERATIONS
- DESCRIPTION OF FUNDING PACKAGE
- IMPACTS TO EXISTING AND NEW FACILITIES
- PROJECT SCHEDULE FOR DESIGN AND CONSTRUCTION
- ENVIRONMENTAL IMPACT ANALYSIS

SOLICITATION OF COMMENTS

- INCLUDE COMMENTS FROM FEDERAL, STATE, AND LOCAL AGENCIES:

State Water Commission	State Game and Fish Department	State Historical Preservation Officer	US Fish and Wildlife Service
US Dept. of Agriculture , Natural Resources Conservation Service	US Army Corps of Engineers, Local and District Offices	North Dakota Dept. of Health (NDDoH)	Any others affected by this project

ENVIRONMENTAL ASSESSMENT DETERMINATION

CATEGORICAL EXCLUSION (CAT EX)

- No significant impacts
- Constructed on previously disturbed land
- Excludes project from further environmental review
- Published in the newspaper of record for municipality
- No comment period

FINDING OF NO SIGNIFICANT IMPACT (FONSI)

- No significant impacts
- Constructed on undisturbed land
- Environmental Assessment will be prepared by the NDDoH
- Published in the newspaper of record for municipality
- 30 day comment period

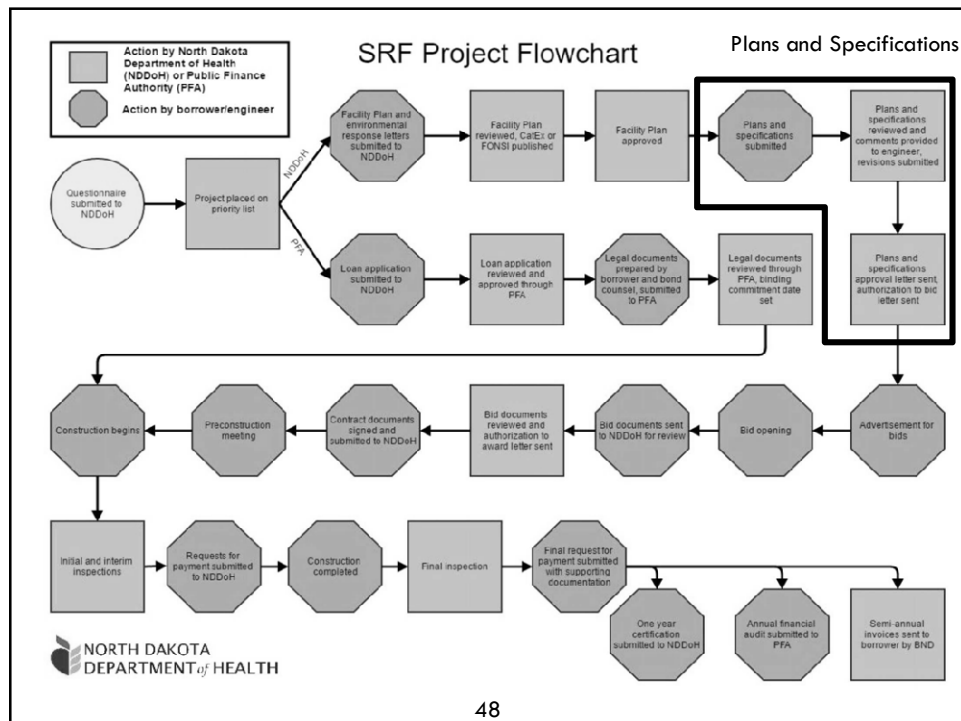
FACILITY PLAN APPROVAL

A MINIMUM OF 30 DAYS TO RECEIVE RESPONSES FROM AGENCY SOLICITATION LETTERS

A MINIMUM 30 DAY PUBLIC COMMENT PERIOD AFTER PUBLICATION OF A FONSI

ADDITIONAL TIME FOR NDDOH REVIEW OF FACILITY PLAN AND PREPARATION OF THE ENVIRONMENTAL DETERMINATION

THE CONSTRUCTION CONTRACT CANNOT BE AWARDED UNTIL THE ENVIRONMENTAL REVIEW PROCESS IS COMPLETE AND AUTHORIZATION TO AWARD IS RECEIVED FROM THE NDDOH!



P&S SUBMITTAL

- COVER LETTER
- THREE SETS (AT LEAST ONE 11X17)
- SIGNED AND SEALED BY A ND P.E.
- INCLUDE SRF # ON EVERYTHING

Submit at least 3 weeks before the bid opening date

ITEMS REQUIRED WITH P&S SUBMITTAL

CONTRACT DOCUMENTS

GENERAL, SUPPLEMENTAL, AND SPECIAL CONDITIONS

SRF SPECIFICATION PACKAGE AND REQUIRED BID LANGUAGE



SRF SPECIFICATION PACKAGE

- NOTICE OF REQUIREMENT FOR AFFIRMATIVE ACTION
- EQUAL OPPORTUNITY CLAUSE AND EQUAL EMPLOYMENT OPPORTUNITY
- MBE/WBE SUBCONTRACTOR SOLICITATION INFORMATION
- EPA FORMS 6100-4, 6100-3, 6100-2
- DAVIS-BACON WAGE RATES
- AIS



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MBE/WBE SUBCONTRACTOR SOLICITATION INFORMATION

Name, Address, & Phone Number of Subcontractor Contacted	Date that Quote was Requested	Description of Work Offered	Date of Follow-up & Person Contacted	Amount of Quote or Reason for Quoting	Quote Accepted? If not, List Reason for Rejection	Indicate if MBE/WBE or non MBE/WBE
ABC Construction 112 Apple Drive (111) 111-1111	1.6.17	Coating inside water tower	1.10.17	\$62,000	No, quote too high	MBE
Bob's Landscaping 62 Health Road (222) 222-2222	1.6.17	Seeding and landscaping	1.10.17	\$15,000	Yes	MBE
Mel's Portables 546 Education Drive, Suite 2A (333) 333-3333	1.6.17	Supply portable bathrooms	1.10.17	Not available		WBE
Nelson Brothers 9712 Friendly St. (444) 444-4444	1.6.17	Seeding and landscaping	1.10.17	Not available		MBE
Youth Construction 44 Johnson Ave. (555) 555-5555	1.6.17	Coating inside water tower	1.10.17	No response		WBE
Turner Systems 328 Money Drive (666) 666-6666	1.6.17	Ladder and railing supplier and installation.	1.10.17	\$42,000	Yes	WBE

* Use additional sheets if necessary.

The undersigned hereby certifies that the above information is true and correct.

Schmitt Construction, Inc.
Contractor

By: *[Signature]* Title: *President* Date: *1-1-2017*

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SRF SPECIFICATION INSERT

EQUAL EMPLOYMENT OPPORTUNITY and AFFIRMATIVE ACTION REQUIREMENTS on FEDERALLY ASSISTED CONSTRUCTION CONTRACTS

Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246)

1. The Officer's or Bidder's attention is called to the "Equal Opportunity Clause" and "Affirmative Action Requirements" set forth herein.
2. The goals and timetables for minority and female participation, expressed in terms of the Contractor's aggregate workforce in each trade on construction work in the covered area, shall be as follows:

Goals for minority participation in each trade: _____
 Goals for female participation in each trade: _____

These goals are applicable to all the contractor's construction work (whether assisted or not) performed in the covered area. If the contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the contractor also is subject to the goals for both its federally involved and non-federally involved construction.

The Contractor's compliance with the Executive Order and the regulations in 41 CFR Part 63-4 shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations imposed by the specifications set forth in 41 CFR 63.4-4(a), and its efforts to meet the goals. The hours of employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on all of its projects. The transfer of minority or female employees or trainees from contractor to contractor or subcontractor to project for the sole purpose of meeting the contractor's goals shall be a violation of the contract, the Executive Order, and the regulations in 41 CFR Part 63-4. Compliance with the goals will be measured against the total work hours performed.

3. The contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs within 10 working days of award of any construction subcontract in excess of \$10,000 at any time for construction work under the contract resulting from this solicitation. The notification shall list the name, address and telephone number for the subcontractor; employer identification number of the subcontractor; estimated dollar amount of the subcontract; estimated starting and completion dates of the subcontract; and the geographical area in which the contract is to be performed.
4. As used in this Notice, and in the contract resulting from this solicitation, the "covered area" is: _____


This notice shall be included in, and shall be a part of, all solicitations for offers and bids on all federal and federally assisted construction contracts or subcontracts.

EQUAL OPPORTUNITY CLAUSES

The Equal Opportunity Clause published at 41 CFR Part 66-1.4(b) is required to be included in, and is part of, all non-exempt federally assisted construction contracts and subcontracts. The Equal Opportunity Clause shall be considered to be a part of every contract and subcontract required by the regulations in this part to include such a clause whether or not it is physically incorporated in such contracts.


In addition to the clauses described above, all federal contracting officers, all applicants, and all non-construction contractors, as applicable, shall include the specifications set forth in this section in all federal and federally assisted construction contracts in excess of \$10,000 to be performed in geographical areas designated by the Director pursuant to 66-4.6 of this part and in construction subcontracts in excess of \$10,000 necessary in whole or in part to the performance of nonconstruction federal contracts and subcontracts covered under the Executive Order.

SRF Specification Package April 2015 1



NORTH DAKOTA
DEPARTMENT of HEALTH

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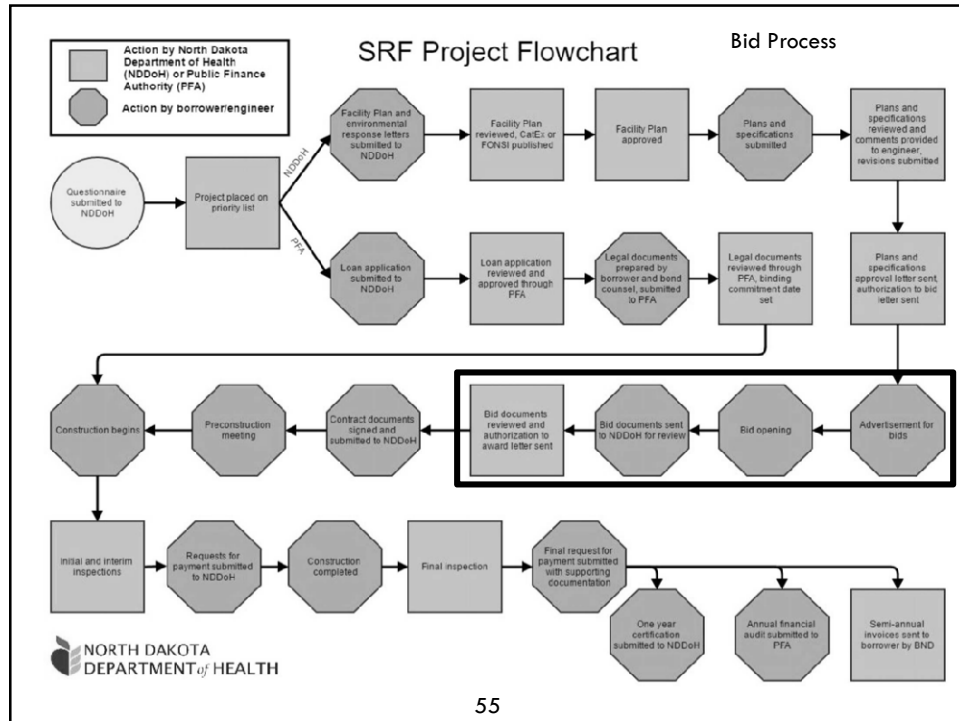
North Dakota Public Finance Authority

Fill in the appropriate participation goals with their corresponding covered area

P&S APPROVAL

- TWO APPROVAL LETTERS
 - P&S APPROVAL (TO ENGINEER)
 - AUTHORIZATION TO ADVERTISE AND OPEN BIDS (TO LOAN RECIPIENT)

ELIGIBLE BIDS CAN NOW BE OPENED. AWARD OF CONSTRUCTION CONTRACTS SHOULD NOT OCCUR UNTIL THE NDDOH AUTHORIZATION TO AWARD IS RECEIVED.



BID OPENING

- THE ENGINEER MUST REVIEW EACH BID TO VERIFY THAT ALL SRF REQUIREMENTS ARE MET AND ENSURE THE FOLLOWING FOUR ITEMS:
 - ACKNOWLEDGEMENT OF ALL ADDENDA ON THE **OUTSIDE OF THE BID ENVELOPE**
 - A COPY OF THE CURRENT CONTRACTOR'S LICENSE **INSIDE THE OUTER ENVELOPE**
 - A COPY OF THE 5 PERCENT BID BOND **INSIDE THE OUTER ENVELOPE**
 - A COPY OF THE SIGNED MBE/WBE SUBCONTRACTOR SOLICITATION INFORMATION SHEET(S) **INSIDE THE OUTER ENVELOPE**

IF THESE ITEMS ARE NOT PRESENT, THE BID CANNOT BE OPENED

BID DOCUMENTS REVIEW

IF A NOTICE OF AWARD IS ISSUED PRIOR TO RECEIVING OUR WRITTEN AUTHORIZATION, THE OWNER ASSUMES THE RISK OF NOT HAVING SECURED FUNDING



CLEAN WATER AND DRINKING WATER STATE REVOLVING FUND PROGRAMS BID DOCUMENTS FOR REVIEW AND APPROVAL

To: Division of Municipal Facilities
North Dakota Department of Health
918 East Divide Avenue, 3rd Floor
Bismarck, ND 58501-1947

From: MA Engineering Inc
Adam Erik, P.E.
2200 46TH AVE. NW
Jamestown, ND 58402

SRF Project No: 108167-01 Date: 08-12-2016

The following documents are enclosed for review and approval prior to the awarding of the contracts:

- ☒ Request from loan recipient to award contract (letter or council minutes), including contract amounts
- ☒ Engineer's recommendation for award of contract(s), including contract amount(s)
- ☒ Proof of advertising
- ☒ Revised budget sheet
- ☒ Addendums not previously submitted
- ☒ Bid tabulation, including engineer's estimate (attach explanation if bid exceeds engineer's estimate by more than 10 percent)
- ☒ Two lowest proposals (each schedule) including bidder acknowledgement of all addenda
- ☒ Bid bond for two lowest bidders (each schedule)
- ☒ MBE/WBE Solicitation Sheets for two lowest bidders (each schedule)
- ☒ EPA Form 5700-49, *Certification Regarding Debarment, Suspension, and Other Responsibility Matters* for two lowest bidders
- ☒ EPA Form 6100-3, *DBE Subcontractor Performance Form* and EPA Form 6100-4, *DBE Subcontractor Utilization Form* for lowest bidder

Please note that the proposals expire on: 11-15-2016 Date

For additional information, please contact:

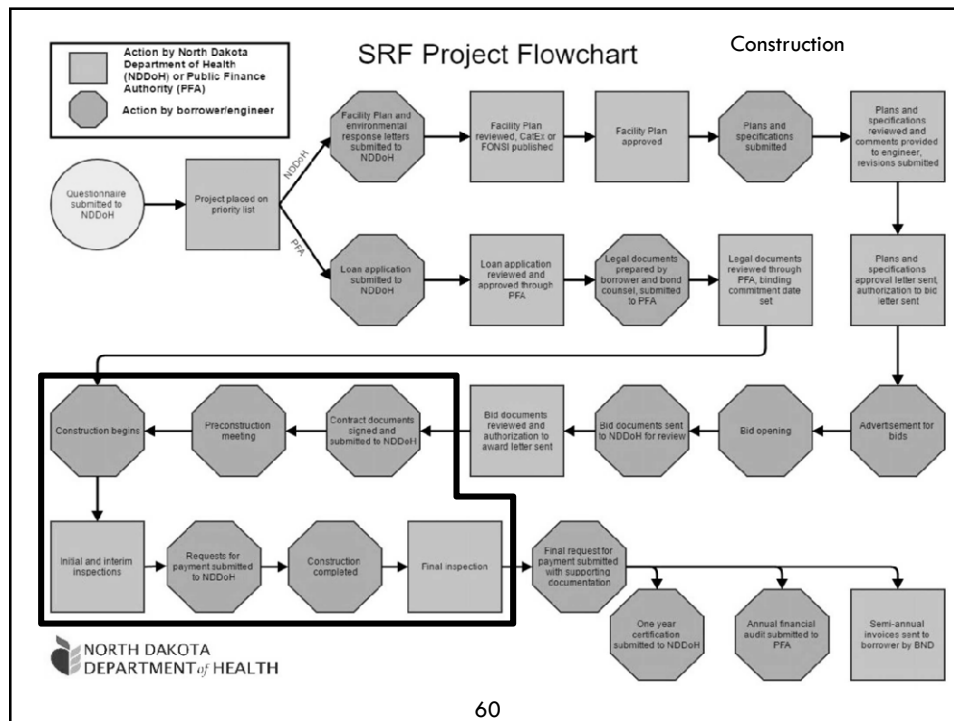
Name: Adam Erik, P.E.
Address: 2200 46TH AVE. NW
Jamestown, ND 58402
Phone: (701) 099-0888
Email: aerik@maengineering.com


Signature of Authorized Representative

Project Engineer Title

CONTRACT AWARD

- THE ENGINEER PROVIDE THE FOLLOWING DOCUMENTATION AFTER CONTRACT AWARD AND PRIOR TO PROCESSING THE FIRST PAY REQUEST
 - NOTICE OF AWARD
 - NOTICE TO PROCEED
 - EXECUTED CONSTRUCTION CONTRACT
 - MBE/WBE SUBCONTRACTS
 - WORKERS' COMPENSATION AND INSURANCE CERTIFICATES
 - UNITED STATES DEPARTMENT OF LABOR (USDOL) FORM FOR SUBCONTRACTS GREATER THAN \$10,000
 - STATE TAX CLEARANCE



PRECONSTRUCTION CONFERENCE

- DURING THE MEETING WE DISCUSS REQUIREMENTS OF THE SRF PROGRAM, INCLUDING:
 - DAVIS-BACON WAGE RATE DETERMINATIONS
 - PAYROLL INTERVIEWS
 - EEO REQUIREMENTS
 - OSHA REQUIREMENTS AND REGULATIONS
 - SAFETY MEETINGS
 - CHANGE ORDERS
 - SEPARATE PROJECT ACCOUNTS
 - AIS



INSPECTIONS

- FOR THIS PROJECT THERE WERE THREE SITE INSPECTIONS:
 - INITIAL
 - CONSTRUCTION PROGRESS & GATHER ADMINISTRATIVE INFORMATION.
 - INTERIM
 - CONSTRUCTION PROGRESS AND DOCUMENT APPROPRIATE EEO POSTERS, DAVIS BACON POSTERS, AIS COMPLIANCE, PROJECT SCHEDULE, AND ANY CONSTRUCTION DEFICIENCIES.
 - FINAL
 - VERIFY THAT CONSTRUCTION IS COMPLETE & READY FOR FINAL PAYMENT/PROJECT CLOSEOUT.















PROJECT CLOSEOUT



NORTH DAKOTA DEPARTMENT OF HEALTH State Revolving Fund Final Project Closeout Checklist

Before closing out a project, you must submit each of the following:

-  1. The final SRF Request for Payment.
-  2. Final balancing charge order and any other change orders not previously submitted. Any work performed or material and equipment purchased after the date of the final payment will not be eligible for reimbursement.
-  3. A copy of the executed final construction contractor's application for payment covering the value of work in place and materials and equipment delivered and installed. The loan recipient must approve the payment invoice. If the contract covers both eligible and ineligible work, an itemized cost breakdown of the portion of the work eligible for participation should be included. Original and final construction quantities should be documented.
-  4. Engineering invoices, agreements and updates (if not previously submitted).
-  5. Invoices for all eligible expenses (if not previously submitted). Examples include bid advertising fees, equipment, and eligible legal and administrative fees.
-  6. Certification by the consulting engineer that construction was completed in accordance with the approved plans and specifications. *The attached sample PROJECT INITIATION AND ACCEPTANCE may be used, or a document containing the same information can be submitted.*
-  7. Loan recipient's acceptance of work by the contractor. *The attached sample PROJECT INITIATION AND ACCEPTANCE may be used, or a document containing the same information can be submitted.*
-  8. A letter stating that the loan recipient has received and accepted an Operation and Maintenance Manual, if required. *The attached sample PROJECT INITIATION AND ACCEPTANCE may be used, or a document containing the same information can be submitted.*
-  9. Initiation of operation date. *The attached sample PROJECT INITIATION AND ACCEPTANCE may be used, or a document containing the same information can be submitted.*
-  10. CONTRACTOR'S CERTIFICATION OF PAYROLLS. Use the attached certification.
-  11. Loan recipient's CERTIFICATION OF PAYROLLS AND STATEMENT OF COMPLIANCE, signed by the owner. Use the attached certification.
-  12. CERTIFICATION OF COMPLIANCE WITH AMERICAN IRON AND STEEL REQUIREMENTS, signed by the owner. Use the attached certification.

SRF PAYMENT REQUESTS



SRF REQUEST FOR PAYMENT		North Dakota Department of Health Municipal Facilities SDH 7504 (11-2015)		<input type="checkbox"/> Clean Water SRF <input type="checkbox"/> Drinking Water SRF		Instructions on back																																																																								
1. Type of Request <input type="checkbox"/> Fund <input type="checkbox"/> Payroll	2. SRF Project No.	3. Payment Request No.	4. Employer ID No.	5. Resident Account No.																																																																										
6. Name of Loan Recipient		7. Address																																																																												
City	State	Zip Code	Period Covered by Request From: To:																																																																											
8. STATUS OF FUNDS: <table border="1"> <thead> <tr> <th>OF SRF PAYMENT</th> <th>(A)</th> <th>(B)</th> <th>(C)</th> </tr> </thead> <tbody> <tr> <td>a. Administrative expenses</td> <td>\$</td> <td>\$</td> <td>\$</td> </tr> <tr> <td>b. Preliminary expenses</td> <td></td> <td></td> <td></td> </tr> <tr> <td>c. Land, structures, right-of-way</td> <td></td> <td></td> <td></td> </tr> <tr> <td>d. Engineering basic fees</td> <td></td> <td></td> <td></td> </tr> <tr> <td>e. Other engineering fees</td> <td></td> <td></td> <td></td> </tr> <tr> <td>f. Project inspection fees</td> <td></td> <td></td> <td></td> </tr> <tr> <td>g. Land development</td> <td></td> <td></td> <td></td> </tr> <tr> <td>h. Relocation expenses</td> <td></td> <td></td> <td></td> </tr> <tr> <td>i. Relocation payments to individual businesses</td> <td></td> <td></td> <td></td> </tr> <tr> <td>j. Demolition and removal</td> <td></td> <td></td> <td></td> </tr> <tr> <td>k. Construction and project improvement cost</td> <td></td> <td></td> <td></td> </tr> <tr> <td>l. Equipment</td> <td></td> <td></td> <td></td> </tr> <tr> <td>m. Miscellaneous cost</td> <td></td> <td></td> <td></td> </tr> <tr> <td>n. Total cumulative to date (sum of items a thru m)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>o. SRF payments previously received</td> <td></td> <td></td> <td></td> </tr> <tr> <td>p. Amount requested for payments</td> <td></td> <td></td> <td></td> </tr> <tr> <td>q. Percentage or physical completion of project</td> <td>%</td> <td>%</td> <td>%</td> </tr> </tbody> </table>							OF SRF PAYMENT	(A)	(B)	(C)	a. Administrative expenses	\$	\$	\$	b. Preliminary expenses				c. Land, structures, right-of-way				d. Engineering basic fees				e. Other engineering fees				f. Project inspection fees				g. Land development				h. Relocation expenses				i. Relocation payments to individual businesses				j. Demolition and removal				k. Construction and project improvement cost				l. Equipment				m. Miscellaneous cost				n. Total cumulative to date (sum of items a thru m)				o. SRF payments previously received				p. Amount requested for payments				q. Percentage or physical completion of project	%	%	%
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9. CERTIFICATION: I certify that, to the best of my knowledge and belief, the listed costs or disbursements are in accordance with the terms of the loan agreement, the payment represents an amount which has not been previously requested, and all work is in accordance with the terms of the loan agreement.																																																																														
a. Requested Signature of Authorized Representative Typed or Printed Name and Title		Date Request Submitted Telephone (area code & number)																																																																												
b. Representative certifying this is for Signature of Authorized Certifying Official Typed or Printed Name and Title		Date Signed Telephone (area code & number)																																																																												
FOR DEPARTMENT USE ONLY 10a. Date of Health Dept Approval 10b. Date of Public Finance Authority Approval 10c. Date of SRF Payment Disposal																																																																														
Authorized By:		Authorized By:		Authorized Trustee:																																																																										



SRF REQUESTS FOR PAYMENT

B. STATUS OF FUNDS:

CLASSIFICATION	(a)	(b)	TOTAL
a. Administrative expenses	\$	\$	\$
b. Preliminary expenses			
c. Land, structures, right-of-way			
d. Engineering basic fees			\$411,406.69
e. Other engineering fees			
f. Project inspection fees			
g. Land development			
h. Relocation expenses			
i. Relocation payments to individuals/businesses			
j. Demolition and removal			
k. Construction and project improvement cost			\$6,868,090.52
l. Equipment			\$150,440.80
m. Miscellaneous cost			
n. Total cumulative to date (sum of lines a thru m)			\$7,429,898.01
o.			
p. SRF payments previously received			\$7,057,244.00
q. Amount requested for payment			\$372,654.00
r. Percentage of physical completion of project		%	42 %

SRF REQUESTS FOR PAYMENT

B. STATUS OF FUNDS:

CLASSIFICATION	(a) Current Request	(b) Previous Request	TOTAL
a. Administrative expenses	\$	\$ 954.48	\$ 954.48
b. Preliminary expenses			
c. Land, structures, right of way			
d. Engineering basic fees	\$3201.50	\$96,162.79	\$99,364.29
e. Other engineering fees			
f. Project inspection fees			
g. Land development			
h. Relocation expenses			
i. Relocation payments to individuals/businesses			
j. Demolition and removal			
k. Construction and project improvement cost	\$141,069.89	\$747,467.74	\$388,532.56
l. Equipment			
m. Miscellaneous cost			
n. Total cumulative to date (sum of lines a thru m)	\$144,271.32	\$344,580.01	\$488,851.33
o.			
p. SRF payments previously received			\$344,580.00
q. Amount requested for payment			\$144,271.00
r. Percentage of physical completion of project		%	65 %

SRF REQUESTS FOR PAYMENT

8. STATUS OF FUNDS:

CLASSIFICATION	(a) CWSRF	(b) CDBG	TOTAL
a. Administrative expenses	\$	\$	\$
b. Preliminary expenses			
c. Land, structures, right-of-way			
d. Engineering basic cost	\$22,560.47		\$22,560.47
e. Other engineering fees			
f. Project inspection fees	\$13,536.83		\$13,536.83
g. Land development			
h. Relocation expenses			
i. Relocation payments to individuals/businesses			
j. Demolition and removal			
k. Construction and project improvement cost	\$93,461.40	\$99,710.88	\$193,129.28
l. Equipment			
m. Miscellaneous cost			
n. Total cumulative to date (sum of lines a thru m)	\$129,573.70	\$99,710.88	\$229,289.58
o.			
p. SRF payments previously received	\$22,500.00		
q. Amount requested for payment	\$187,013.00		
r. Percentage of physical completion of project	%	%	%

SRF REQUESTS FOR PAYMENT

9. CERTIFICATION:

I certify that, to the best of my knowledge and belief, the billed costs or disbursements are in accordance with the terms of the loan agreement, the payment represents an amount which has not been previously requested, and all work is in accordance with the terms of the loan agreement.

a. Recipient	Original Signature of Authorized Representative	Date Request Submitted
	Typed or Printed Name and Title	Telephone (area code & number)
b. Representative certifying to Line 8r	Original Signature of Authorized Certifying Official	Date Signed
	Typed or Printed Name and Title	Telephone (area code & number)

FOR DEPARTMENT USE ONLY

10a. Date of Health Dept Approval	10b. Date of Public Finance Authority Approval	10c. Date of SRF Payment Disbursal
Authorized By:	Authorized By:	Authorized Trustee:

ONGOING REQUIREMENTS

LOAN REPAYMENTS

- BANK OF NORTH DAKOTA, AS TRUSTEE, SENDS THE INVOICES AND RECEIVES THE PAYMENTS
- WITHIN 12 MONTHS OF THE COMPLETION OF CONSTRUCTION, A PRINCIPAL PAYMENT MUST BE MADE
- MARCH 1 – INTEREST AND ADMIN FEES
- SEPTEMBER 1 – PRINCIPAL, INTEREST & ADMIN FEES

- OUTSTANDING LOAN WITH THE PFA, MUST SUBMIT EITHER:
 - AUDIT REPORT OR
 - STATE AUDITOR'S "ANNUAL FINANCIAL REPORT IN LIEU OF AN AUDIT."
- RESERVES AND COVERAGE ARE REVIEWED

SRF REQUIRED RESERVES

APPLIES ONLY TO LOANS BACKED BY REVENUE BONDS

- RESERVES ARE HELD BY THE POLITICAL SUBDIVISION
- REQUIRED TO BE FUNDED WITHIN 5 YEARS OF FULLY FUNDING A LOAN
- THE REQUIRED RESERVE AMOUNT IS THE LESSER OF
 - 10% OF PAR
 - MAXIMUM ANNUAL PRINCIPAL AND INTEREST
 - 125% AVERAGE ANNUAL PRINCIPAL AND INTEREST

SRF 120% OPERATING COVERAGE

APPLIES ONLY TO LOANS BACKED BY REVENUE BONDS

- BOND RESOLUTIONS FOR LOANS BACKED BY REVENUE BONDS
COVENANT THAT THE BORROWER WILL CHARGE FEES THAT WILL
GENERATE NET REVENUES THAT ARE AT LEAST EQUAL TO 1.2 TIMES
THE ANNUAL DEBT SERVICE FOR **ALL** OUTSTANDING REVENUE BONDS.

120% COVERAGE EXAMPLE

APPLIES ONLY TO LOANS BACKED BY REVENUE BONDS

OPERATING REV	\$800,000
LESS: OPERATING EXP	760,000
PLUS: DEPRECIATION	<u>80,000</u>
NET OPERATING	\$120,000

ANNUAL REVENUE BOND PRINCIPAL & INTEREST \$100,000

COVERAGE:

$$\$120,000 / \$100,000 = 120\%$$

CERTIFICATION LETTER

- ONE YEAR CERTIFICATION LETTER MUST BE SUBMITTED TO NDDOH
 - DATED AT LEAST ONE YEAR AFTER DATE OF INITIATION OF OPERATION

CONTACTS

MUNICIPAL FACILITIES

WWW.NDHEALTH.GOV/MF

701.328.5211

PUBLIC FINANCE AUTHORITY

WWW.ND.GOV/PFA

701.328.7100

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AND DWSRF)
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ND PUBLIC FINANCE AUTHORITY CONTACT INFO

- DEANN AMENT, EXECUTIVE DIRECTOR
701.426.5723, DAMENT@ND.GOV
- KYLEE MERKEL, BUSINESS MANAGER
701.328.7120, KYLEEMERKEL@ND.GOV